DOCUMENT RESUME

ED 311 833 HE 022 928

TITLE	End of Academic Year Student Financial Aid Update Report. 1987 National Postsecondary Student Aid Study. Contractor Report. Technical Report.
INSTITUTION	Westat Research, Inc., Rockville, Md.
SPONS AGENCY	National Center for Education Statistics (ED), Washington, DC.
REPORT NO	CS-89-310
PUB DATE	May 89
NOTE	74p.; For related document, see HE 022 929. Data Series: SP-NPSAS-86/87-4.
PUB TYPE	Reports - Research/Technical (143) -- Statistical Data (110)
EDRS PRICE	MF01/PC03 Plus Postage.
DESCRIPTORS	Databases; Economic Change; *Family Characteristics; Federal Aid; Followup Studies; Income; *Institutional Characteristics; National Surveys; Postsecondary Education; Research Methodology; State Aid; Student Employment; *Student Financial Aid; Taxes; Trend Analysis; Work Study Programs
IDENTIFIERS	*National Postsecondary Student Aid Study

ABSTRACT

The National Postsecondary Education Student Aid Study collected data for 59,886 sample students from registrar and financial aid office records at postsecondary institutions. To obtain award amounts covering the entire 1986-87 academic year and for data verification, fall financial aid data were updated at the end of the academic year. Results and methodology are reported. There were several facts highlighted in this study. Over one-third of eligible sample students had substantive updates or corrections. Public and private doctoral-granting institutions, containing 44.4% of sampled students, accounted for 45.9% of updates to student family information. Private for-profit institutions, containing 10.1% of sample students, accounted for 13.5% of updates. The most updated substantive items were family gross income and federal income tax paid. Federal aid categories accounted for two-thirds of total net dollar increase in aid award amounts reported in the update. Institutional loans and grants ranked second, and state grants and loans third. Guaranteed Student Loans/Federally Insured Student Loans were the most updated item overall, were the most-updated federal aid item, had the largest dollar amounts of updates, and had the biggest net increase in dollar amounts. Of the 4,212 students in the sample who were awarded funds through the federal College Work-Study program, only 69.4% actually earned money during the school year. (MSE)

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Technical Report

May 1989

End of Academic Year Student Financial Aid Update Report

1987 National Postsecondary Student Aid Study

Contractor Report

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WESTAT, Inc.

Gerald S. Malitz
Sandra Garcia
Co-Project Officers
National Center for Education Statistics

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FOREWORD

The National Postsecondary Student Aid Study (NPSAS) collected data for each sample student from registrar and financial aid office records at postsecondary institutions. In order to obtain financial award amounts covering the entire 1986–87 academic year for the sample students, and to give financial aid officers an opportunity to verify the collected data, the fall financial aid data were updated at the end of the 1986–87 academic year. This report presents the results and methodology of this updating activity.

NPSAS data tapes and diskettes are available to those wishing to carry out their analyses. Information about obtaining these data tapes can be obtained from the U.S. Department of Education, Office of Educational Research and Improvement, Information Technology Branch, 555 New Jersey Avenue NW, Washington, DC 20208–5725.

Samuel S. Peng, Director
Postsecondary Education Statistics Division
National Center for Education Statistics

ACKNOWLEDGMENTS

The 1987 NPSAS Records Update Task was only possible through the cooperation of student financial aid offices at the 1,074 NPSAS institutions. Their support is gratefully acknowledged, along with the encouragement and guidance provided by the 1987 NPSAS Advisory Committee and the National Association of Student Financial Aid Administrators.

Additionally, we would like to thank NCES staff members Gerald S. Malitz and Sandra Garcia, Co-Project Officers, and Roslyn Korb, Chief, Special Studies and Analysis Branch. We would also like to thank Karen Chauvin, George Wade, and Norman Brandt of the Department of Education for their assistance in reviewing this document.

EXECUTIVE SUMMARY

Of the 59,886 eligible NPSAS students, 21,903 had a Student Financial Records Update Form returned with one or more substantive updates or corrections.

Public and private 4-year doctoral-granting institutions, which contained 44.4 percent of the sampled students, accounted for 45.9 percent of the total number of updates to student family information. Private for-profit institutions, which contained 10.1 percent of the sampled students, accounted for 13.5 percent of these types of updates.

Student family information items accounted for 35.2 percent of all substantive updates. Of these, the single most updated item was "adjusted gross income," representing 6.7 percent of all updates, followed closely by "Federal income tax paid" with 5.9 percent of all updates.

Federal aid categories accounted for just over two-thirds of the total net dollar increase in financial aid award amounts reported in the update effort. Institutional grants and loans ranked second, and State grants and loans third.

The most frequently updated Federal aid item was GSL/FISL loans to students, representing 32.4 percent of all Federal aid updates. It was also the most frequently updated item overall, accounting for 7.8 percent of all updates. GSL/FISL loans also accounted for the largest dollar amounts of updates and the biggest net increase in dollar amounts.

Data collected through the update revealed that of the 4,212 students in the NPSAS sample who were awarded funds through the Federal College-Work Study Program, only 69.4 percent actually earned money during the school year.

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CHAPTER 1. INTRODUCTION

Purpose and Procedures

The U.S. Department of Education established the National Postsecondary Student Aid Study (NPSAS) to be a consistent, comprehensive, and efficient student-based data system. The primary purpose of NPSAS is to be able to examine issues of postsecondary financial aid and student expenses using student-level data.

The first implementation of NPSAS was in the 1986-87 school year. A sample of about 1,074 postsecondary institutions from all sectors was selected, and approximately 60,000 students were sampled from enrollment lists provided by the institutions. The enrollment lists represented students enrolled in the fall (October) of 1986.

The 1987 NPSAS collected data for each sample student from registrar and financial aid office records at postsecondary institutions. This data collection effort took place between December 1986 and March 1987. The registrar data provided NPSAS with information necessary to locate respondents for the student and parent surveys and with general student characteristics. The financial aid office data reflected financial aid awards made as of the time of data collection.

In order to obtain financial aid award amounts covering the entire 1986-87 academic year for the sample students and to give financial aid officers the opportunity to verify the collected data, the fall financial aid data were updated at the end of the 1986-87 academic year. This updating effort, called the Student Financial Record Update Task, began in August and continued through December of 1987.

All 59,886 eligible NPSAS students were included in this update process regardless of their aided status during the initial data collection. Student Financial Records Update Forms containing fall award data were sent to each institution. The institution coordinator was asked to review each form and to verify, correct or update each data item.

The purpose of this report is to present the results and methodology of this updating activity. Readers are reminded that the objective of the records update task was to obtain full-year

awards amounts, and not to track the award process or changes in financial aid during the academic year. *Consistent with this purpose, the focus of this report is methodological; all results are presented in unweighted form and therefore do not constitute national estimates.*

Update Items and Instructions

The Student Financial Records Update Form was designed to provide institutions with the opportunity to review the fall records data that had been collected and to verify, correct or update each item. An example form is shown in Appendix A-1. Items on the form included all financial aid categories and selected student characteristics and student family information from the fall Record Abstract Form as well as two additional items: the veteran status of the student and the actual amount earned through the Federal College Work Study Program. For each Record Abstract Form item on the update form, three columns were provided. The first column, called "RECORD ABSTRACT INFORMATION" contained the previously abstracted fall records data value. The middle column, titled "NO CHANGE IN RECORD ABSTRACT INFORMATION," contained a box to be checked if the coordinator determined that no change had occurred since the original abstracting. The last column, "UPDATED FINANCIAL RECORDS INFORMATION," provided space for updated information on award amounts and length of awards to be recorded.

Instructions for completing the forms were included in both the advance packet mailing and the forms packet mailing (see Appendix A-7). Coordinators were asked to review the original data on each form and to indicate the results of their review by either checking a box or entering a new value. All forms, including those with no changes, were then sent to Westat for processing.

Substantive Updates and Corrections

Institutions were given the opportunity to verify, update, or correct fall financial records information for each student. The fall records information was shown in the first columns on the update form with any missing, blank or "0" data values shown as "NOT REPORTED". If the value for a particular item had changed from that shown the new value was written by the

Table 1.--Number of updates and corrections to record abstract by item

Records Update Form line number*	Number updates		Number corrections	Total number items changed
	Substantive	Non-substantive		
7	4591	0	12	4603
8	3327	0	13	3340
9	4664	0	113	4777
10	3753	0	125	3878
11	3621	0	114	3735
12	4685	0	162	4847
13	4116	0	257	4373
14	3082	0	283	3365
15	2687	0	109	2796
16	1402	0	70	1472
17	1058	0	48	1106
18	3372	25	120	3517
19	1095	16	34	1145
20	1339	18	52	1409
21	864	4	0	868
22	2922	0	4	2926
23	5419	8	208	5635
24	298	8	13	319
25	455	9	20	484
26	19	8	3	30
27	230	8	9	247
28	94	8	4	106
29	66	8	13	87
30	7	8	0	15
31	19	8	4	31
32	80	7	1	88
33	1	7	0	8
34	16	7	0	23
35	0	7	0	7
36	37	7	1	45
37	3	7	0	10
38	4	7	4	15
39	65	7	9	81
40	5	7	0	12
41	5	7	1	13
42	3	7	0	10
43	6	7	0	13
44	1	7	0	8
45	1	7	0	8
46	0	7	0	7
47	0	7	0	7
48	0	7	0	7
49	212	8	8	228
50	13	8	0	21

*See Appendix A-1. This corresponds to the number that appears in parentheses in the right column of the Student Financial Records Update Form.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Table 1.--Number of updates and corrections to record abstract by item (continued)

Records Update Form line number*	Number updates		Number corrections	Total number items changed
	Substantive	Non-substantive		
51	30	8	0	38
52	27	8	0	35
53	755	8	39	802
54	79	6	23	108
55	5	6	2	13
56	638	8	11	657
57	1145	12	22	1179
58	890	6	43	939
59	4	6	0	10
60	19	6	0	25
61	82	6	1	89
62	34	6	4	44
63	296	8	16	320
64	171	8	2	181
65	157	9	1	167
66	1107	6	45	1158
67	218	9	12	239
68	1808	9	73	1890
69	1870	9	68	1947
70	824	9	46	879
71	594	8	16	618
72	137	8	18	163
73	303	8	22	333
74	196	8	11	215
75	57	8	6	71
76	91	8	8	107
77	87	8	11	106
78	882	9	48	939
79	283	8	37	328
80	93	7	5	105
81	90	7	0	97
82	4	7	1	12
83	221	7	6	234
84	64	7	0	71
85	140	7	1	148
86	825	7	36	868
87	208	7	16	231
88	143	0	6	149
89	349	0	9	358
90	744	0	1	745
All items	69307	553	2480	72340

*See Appendix A-1. This corresponds to the number that appears in parentheses in the right column of the Student Financial Records Update Form.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

institution in the column titled "UPDATED FINANCIAL RECORDS INFORMATION". In some instances, coordinators updated amounts shown as "NOT REPORTED" by indicating zeros. Although these were originally counted as updates, they were later defined as "non-substantive updates" and removed from the final update count. Table 1 shows the total number of updates and corrections to the record abstract by item (see Appendix A-1 for corresponding line numbers). The remainder of this report refers only to substantive updates.

Of the 59,886 sample students eligible for the update task, 21,903 had a form returned with one or more updates or corrections. Table 2 shows the number of forms received with updates or corrections by control and level of institution.

New Items

In addition to updating the fall records items, coordinators were asked to provide two other pieces of information for each student. The first of these items was the veteran status of the student. Of the 1,074 NPSAS institutions, 66 were not able to provide this information stating that knowledge of a student's veteran status was not required for their recordkeeping. Of the institutions reporting any veteran status for their students, 47.3 percent of the students were reported as "DON'T KNOW". Table 3 summarizes reported veteran status by institution type and control.

The second new item concerned the Federal College Work Study Program (CWSP). During the fall records data collection the initial award amount was abstracted. For the update, the institutions were asked to provide the actual amount earned by the student under this program. Table 4 shows the number of students initially awarded College Work Study funds and those who were reported to have actually earned money under the program. Approximately 69.4 percent of the students awarded funds under the CWSP actually earned money.

Table 2.--Number of forms received with updates and corrections by control and level of institution

Control and level of institution	Number forms with updates only	Number forms with corrections only	Number forms with both updates and corrections	Total forms received
Total	20,536	416	951	21,903
Public				
Total	8,337	168	339	8,844
4-year doctoral	4,464	109	213	4,786
Other 4-year	2,480	54	92	2,626
2-year	1,140	4	34	1,178
Less than 2-year	253	1	0	254
Private, nonprofit				
Total	9,443	174	521	10,138
4-year doctoral	4,493	102	302	4,897
Other 4-year	3,745	57	199	4,001
2-year	952	6	16	974
Less than 2-year	253	9	4	266
Private, for-profit				
Total	2,756	74	91	2,921
2 years or more	1,037	20	40	1,097
Less than 2-year	1,719	54	51	1,824

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Table 3.--Student's veteran status by control and level of institution

Control and level of institution	Number students			Total number of students responding
	Veteran	Nonveteran	Institution data not available	
Total	703	23,462	21,665	45,830
Public				
Total	335	10,252	11,072	21,659
4-year doctoral	106	4,079	5,762	9,947
Other 4-year	84	3,713	3,110	6,907
2-year	121	2,139	2,042	4,302
Less than 2-year	24	321	158	503
Private, nonprofit				
Total	230	9,353	9,848	19,431
4-year doctoral	82	4,333	5,698	10,113
Other 4-year	113	3,715	3,348	7,113
2-year	24	1,138	611	1,773
Less than 2-year	11	167	191	369
Private, for-profit				
Total	138	3,857	745	4,740
2 years or more	68	1,378	276	1,722
Less than 2-years	70	2,479	469	3,018

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Table 4.--College work study awarded and earned by control and level of institution

Control and level of institution	Total number of students	Number reported awarded Federal College Work Study	Number reported actually earned Federal College Work Study
Total	59,886	4,212	2,922
Public			
Total	28,873	1,402	995
4-year doctoral	13,231	682	442
Other 4-year	8,372	563	414
2- year	6,505	143	127
Less than 2-year	765	14	12
Private, nonprofit			
Total	24,971	2,769	1,884
4-year doctoral	13,383	1,458	836
Other 4-year	8,998	1,102	892
2-year	2,083	180	135
Less than 2-year	507	29	21
Private, for-profit			
Total	6,042	41	43
2 years or more	2,081	20	21
Less than 2-year	3,961	21	22

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

CHAPTER 2. NUMBER AND DOLLAR AMOUNT OF UPDATES

Student Family Information

In order to determine what types of changes might occur in a student's family situation over the course of the academic year, several items from the Student Aid Report (SAR) (lines 10-17 on Table 1) were included on the update form. These items together accounted for 35.2 percent of all substantive updates. The single most updated item of these was "adjusted gross income" (line 12 on Table 1) representing 6.8 percent of all updates, followed closely by "Federal income tax paid" (line 13 on Table 1) with 5.9 percent of all updates. Public and private 4-year doctoral-granting institutions which contained 44.4 percent of the sampled students, also accounted for 45.9 percent of the total number of updates to student family information. Private, for-profit schools provided 13.5 percent of the updates and represented 10.1 percent of the sampled students.

Financial Aid

All categories of financial aid award amounts originally included on the Record Abstract Form were eligible to be updated. The Federal aid categories dominated in the number of updates accounting for 51.7 percent of all updates made to aid information. The most frequently updated Federal aid items (Table 6) were GSL/FISL loans representing 32.4 percent of Federal aid updates and 7.8 percent of all updates. This was followed by Pell Grants with 20.2 percent of the Federal aid updates and 4.9 percent of all updates.

In comparing grants and loans for the various sources of aid (Table 5), Federal loans were updated much more frequently than grants, but the results for State, institutional and other sources of aid were just the opposite. This is not surprising due to the fact that grants are the predominant type of aid available through State, Institutional and Other sources while loans

Table 5.--Number of updates to grants and loans by control and level of institution

Control and level of institution	Federal		State		Institutional		Other		Total	
	Grant	Loan	Grant	Loan	Grant	Loan	Grant	Loan	Grant	Loan
Total	4,969	7,953	5,054	375	5,772	536	1,645	143	17,440	9,007
Public										
Total	2,173	2,725	2,057	150	1,714	191	641	27	6,585	3,093
4-year doctoral	814	1,703	821	77	1,147	150	373	23	3,155	1,953
Other 4-year	730	752	834	65	374	15	142	3	2,080	835
2-year	526	207	372	8	154	23	112	1	1,164	239
Less than 2-year	103	63	30	0	39	3	14	0	186	66
Private, nonprofit										
Total	1,615	3,884	2,601	189	4,008	309	920	112	9,144	4,494
4-year doctoral	570	2,362	797	102	1,867	209	333	88	3,567	2,761
Other 4-year	721	1,145	1,426	55	1,813	61	468	20	4,428	1,281
2-year	225	322	290	21	309	31	80	0	904	374
Less than 2-year	99	55	88	11	19	8	39	4	245	78
Private, for-profit										
Total	1,181	1,344	396	36	50	36	84	4	1,711	1,420
2 years or more	397	534	236	29	28	7	29	4	690	574
Less than 2-year	784	810	160	7	22	29	55	0	1021	846

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

provide the bulk of Federal aid dollars. Table 6 shows the number of updates for specific Federal aid programs by control and level of institution. The most updated award amount was GSL/FISL representing 7.8 percent of all updates.

Dollar Amounts of Financial Aid Updates

Federal Grants and Loans

Although many different sources of financial aid are available to postsecondary students, the Federal government continues to be the main source of aid dollars. Thus, it is no surprise that updates to Federal grants and loans accounted for 66.8 percent of the total net change (increase) in award amounts (Table 7). Fifty-five percent of this net increase occurred in private, nonprofit, 4-year doctoral-granting and other 4-year institutions. All public institutions combined accounted for only 34 percent of the total net change to Federal grant and loan amounts.

Pell Grants

Of the four main Federal programs (Pell, SEOG, NDSL, and GSL), updates to Pell grants accounted for only 10.5 percent of the net dollar amount change shown in Table 8. This specific source, however, accounted for the largest negative changes during the updating process in terms of the ratio of negative to positive dollar amount changes.

Supplementary Educational Opportunity Grants (SEOG)

The number of SEOG updates was significantly less than the number of updates for other Federal financal aid awards (see Table 6). The largest increase, decrease, and net change in SEOG amounts were in 4-year and 4-year doctoral schools (Table 8).

Table 6.--Number of updates to specific Federal aid award amounts by control and level of institution

Control and level of institution	Pell		SEOG		NDSL		GSL		Total number of all substantive updates	
	Number	Percent of all updates	Number	Percent of all updates	Number	Percent of all updates	Number	Percent of all updates	Number	Percent of all updates
Total	3,372	4.9	1,095	1.6	1,339	1.9	5,419	7.8	69,307	100
Public										
Total	1,476	5.4	433	1.6	544	2.0	1,869	6.8	27,480	100
4-year doctoral	507	3.4	188	1.3	349	2.3	1,069	7.1	14,996	100
Other 4-year	493	5.9	145	1.7	154	1.9	575	6.9	8,288	100
2-year	401	11.5	97	2.8	35	1.0	168	4.8	3,477	100
Less than 2-year	75	10.4	3	0.4	6	0.8	57	7.9	719	100
Private, nonprofit										
Total	1,025	3.0	416	1.2	632	1.9	2,487	7.4	33,630	100
4-year doctoral	345	2.1	141	0.9	355	2.2	1,352	8.4	16,139	100
Other 4-year	449	3.2	208	1.5	228	1.6	848	5.9	13,631	100
2-year	165	5.4	45	1.5	48	1.6	239	7.8	3,050	100
Less than 2-year	66	8.1	22	2.7	1	0.1	48	5.9	810	100
Private, for-profit										
Total	871	10.6	246	3.0	163	2.0	1,063	13.0	8,197	100
2 years or more	285	8.1	95	2.7	93	2.6	388	11.0	3,513	100
Less than 2-year	586	12.5	151	3.2	70	1.5	675	14.4	4,684	100

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Table 7.--Dollar amount updates (in thousands) for various sources of financial aid by control and level of institution

Control and level of institution	Source of financial aid														
	Federal			State			Institutional			Other			Total		
	$ +	$ -	Total net change	$ +	$ -	Total net change	$ +	$ -	Total net change	$ +	$ -	Total net change	$ +	$ -	Total net change
Total	18,536	5,197	13,339	3,986	2,428	1,557	7,574	3,358	4,216	1,540	678	861	31,635	11,662	19,973
Public															
Total	6,196	1,657	4,539	1,153	677	476	1,949	635	1,314	460	198	262	9,758	3,168	6,590
4-year doctoral	3,758	920	2,838	629	324	305	1,668	491	1,177	285	162	123	6,341	1,898	4,443
Other 4-year	1,752	412	1,340	381	270	111	230	114	116	81	27	54	2,445	824	1,621
2-year	548	233	315	133	74	59	43	30	14	80	9	71	803	345	458
Less than 2-year	138	92	46	10	9	1	8	0	7	14	0	14	169	101	68
Private, nonprofit															
Total	10,155	2,364	7,791	2,453	1,552	901	5,552	2,667	2,886	901	443	459	19,061	7,025	12,035
4-year doctoral	6,623	1,307	5,316	928	543	385	3,570	1,594	1,976	369	253	117	11,490	3,697	7,793
Other 4-year	2,774	753	2,021	1,238	735	502	1,755	965	790	424	161	263	6,191	2,613	3,577
2-year	598	246	352	199	195	5	220	88	132	57	15	42	1,074	544	530
Less than 2-year	160	58	102	88	79	9	7	20	-12	51	14	37	306	171	135
Private, for-profit															
Total	2,185	1,176	1,009	379	199	180	73	57	16	179	37	142	2,816	1,468	1,348
2 years or more	829	383	446	234	134	100	42	20	22	49	9	40	1,154	545	609
Less than 2-year	1356	793	563	145	65	80	31	37	-6	130	28	102	1,662	923	739

Note: Numbers may not add to total due to rounding.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Table 8.--Dollar amount updates (in thousands) for specific Federal aid programs by control and level of institution

Control and level of institution	Pell			SEOG			NDSL			GSL		
	$ +	$ -	Total net change	$ +	$ -	Total net change	$ +	$ -	Total net change	$ +	$ -	Total net change
Total	1,935	1,282	653	418	249	169	849	379	470	8,445	2,231	6,214
Public												
Total	820	440	382	130	95	36	287	151	136	2,904	629	2,276
4-year doctoral	312	150	163	69	51	19	195	101	94	1,832	356	1,476
Other 4-year	299	138	161	39	20	19	78	33	45	819	160	659
2-year	170	127	44	22	23	-1	12	14	-2	189	61	128
Less than 2-year	39	25	14	0	1	-1	2	3	-1	64	52	13
Private, nonprofit												
Total	696	336	360	230	105	126	480	165	316	4,443	1,109	3,335
4-year doctoral	249	107	143	108	38	70	341	90	252	3,008	563	2,444
Other 4-year	313	136	177	95	46	50	118	52	66	1,073	416	658
2-year	84	62	22	14	21	-7	21	23	-2	299	118	181
Less than 2-year	50	31	18	13	0	13	0	0	0	63	12	52
Private, for-profit												
Total	418	506	-89	57	49	8	82	64	19	1,098	494	603
2 years or more	139	156	-17	21	22	-1	54	33	22	404	153	250
Less than 2-year	279	350	-72	36	27	9	28	31	-3	694	341	353

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Guaranteed Student Loan (GSL)

In addition to accounting for the largest dollar amounts of updates (Table 8), Guaranteed Student Loans also accounted for the biggest net increase in dollar amounts. GSL's represented 82.8 percent of the net dollar amount updates to the four main Federal programs. Approximately 39 percent of this increase can be attributed to private, nonprofit, 4-year doctoral-granting institutions.

National Direct Student Loan (NDSL)

NDSL amounts accounted for 6.3 percent of the net change in aid dollars. Slight dollar amount decreases were seen in public and private 2-year institutions and in public and proprietary less than 2-year institutions. Overall, this source ranks third behind GSL and Pell grants as the most updated aid amount.

State Grants and Loans

Updates to State supported financial aid represented only 7.8 percent of the total net change to award amounts (see Table 7). Again, the majority (81.9%) of these changes were seen in the private, nonprofit, 4-year doctoral-granting and other 4-year institutions.

Institutional Grants and Loans

As shown in Table 7, institutional grants and loans ranked as the source with the second largest net increase in financial aid award amounts. This source accounted for 21.1 percent of the total net change to dollar amounts for all sources.

CHAPTER 3. METHODOLOGY

Overview and Schedule

The 1987 National Postsecondary Student Aid Study (NPSAS) collected data for each sample student from registrar and financial aid office records at postsecondary institutions. This data collection effort took place between December, 1986 and March, 1987.

The registration data provided NPSAS with information necessary to locate individuals for the student and parent surveys and with general student characteristics. The financial aid office data included financial aid awards made as of the time of data collection. In order to obtain financial aid award amounts covering the entire 1986-87 academic year for the sample students, the fall financial aid data were updated at the end of the 1986-87 academic year. This updating effort, called the Student Financial Aid Record Update Task, began in August and continued through December of 1987.

Development of Data Collection Materials

The Student Financial Aid Records Update Form

The Student Financial Records Update Form (Appendix A-1) was designed to provide each institution with the opportunity to verify, correct, or update every financial aid award type and amount for all of the 59,886 students in the NPSAS sample. A separate form was produced for each student. Items on the update form included all financial aid categories and selected student characteristics and student family information from the fall Record Abstract Form as well as two additional items; the veteran status of the student and the actual amount earned through the College Work-Study Program. For each fall Record Abstract Form item that was included on the update form, three types of columns were provided. The first column, called "RECORD ABSTRACT INFORMATION" contained the previously abstracted fall records data value. The middle column, titled "NO CHANGE IN RECORD ABSTRACT INFORMATION", contained a box to be checked if the institutional coordinator determined that no change had occurred since the original data collection. The last column, "UPDATED FINANCIAL

RECORDS INFORMATION", provided space where updated information for each specific variable was to be recorded.

Once the design of the Student Financial Records Update Form and the items to be included on the form were decided, a data tape was created. Many schools provided a school-assigned student ID number. When available, this number was included on the form. In cases where such a number was not provided, the student's social security number was entered in this data field.

After the data tape was prepared, a print file was created that included a formatted individual form for each student. Data items that were dollar amounts were reformatted to appear on the form preceded by " $ " signs and with appropriate commas, making the data easier to read and verify. All financial aid and relevant student family data were reformatted to flag any data values which were determined to be out-of-range during the Records Abstract editing process. In these cases, an asterisk was appended to the data value, thus highlighting the need to examine the items even more closely during the update process. Finally, any missing, blank or "0" data values were reformatted on the update form as "NOT REPORTED". Since each form consisted of six pages, the student's NPSAS ID number was printed at the bottom of each page to allow recovery if pages became detached.

The forms were printed on a Xerox laser printer. The 59,886 six-page forms were printed in a three day period. Additional copies of forms were printed throughout the field period when needed due to loss or misplacement of forms.

The Control List

A control list (Appendix A-2) was produced for each institution containing summary information on the sample students. The list contained the NPSAS ID number, the student's name, either the school-assigned student ID or the social security number, and whether or not the student was considered aided or not aided based on the earlier abstract information. In response to requests by some institutional coordinators who used the social security number as the primary student ID, a second version of the control list was produced in sort order by student name and by social security number.

The Advance Packet

Since it had been several months since the institutions had participated in the NPSAS data collection, they were contacted to explain what was expected of them for the update task. An advance packet of materials provided a clear task description and outlined participation requirements for the NPSAS institutional coordinators. This packet contained the following:

- A cover letter from the Westat NPSAS National Field Director describing the packet contents and providing toll-free numbers to call for technical assistance (Appendix A-3).
- A letter from Emerson Elliott, Director of the National Center for Education Statistics, U.S. Department of Education, introducing the task and asking for the institution's continued support (Appendix A-4).
- A letter from Dallas Martin, Executive Director of the National Association of Student Financial Aid Administrators, endorsing the update task and encouraging the institution's participation (Appendix A-5).
- A copy of the Control List for that institution which contained the names and ID numbers of the students in the NPSAS sample (Appendix A-2).
- A draft copy of the Student Financial Records Update Form (with no data shown) (Appendix A-6).
- A set of instructions for completing the Student Financial Records Update Form (Appendix A-7).

All packet materials were printed on the appropriate letterhead and were assembled in early August, 1987.

Institution Contacts

During the course of the Student Financial Records Update task it was necessary to contact institutions several times, to explain the task, to ensure that the materials had been received, to provide technical or staff assistance, or to followup nonresponding institutions. Table 9 shows the average number of followup (not counting the initial advance and forms mailings)

Table 9.–Average number of initial contacts, followup attempts, and total number of coordinator changes per institution, by control and level of institution

Control and level of institution	Total Number of institutions	Average number of initial contacts	Average number of followup attempts	Total coordinator changes
Total	1,074	2.6	3.0	190
Public				
Total	447	2.5	3.1	69
4-year doctoral	109	2.8	3.7	16
Other 4-year	97	2.5	3.2	14
2 year	185	2.0	2.2	28
Less than 2-year	56	2.7	3.2	11
Private, nonprofit				
Total	323	2.4	2.8	51
4-year doctoral	128	2.9	3.5	24
Other 4-year	119	2.2	2.4	13
2 year	56	1.9	2.1	10
Less than 2 year	25	2.5	3.2	4
Private, for profit				
Total	304	3.0	3.3	70
2 years or more	78	3.1	3.3	16
Less than 2-year	221	2.9	3.3	54

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

attempts and contacts necessary to complete this task. Some of these contacts were due to the fact that "things change constantly" at most postsecondary schools. Of the 1074 institutions in the sample, 5 had changed their name and 22 had changed their address by the time of the update. Another 10 had gone out-of-business altogether. Also, 190 of our former NPSAS institution coordinators were no longer available and a new coordinator was appointed by the school.

Advance Mailing

To begin the update task, the advance packets were sent to each of the 1074 participating NPSAS institutions. This mailing was completed during the week of August 19,1987. Care was taken to group materials for institutions that previously had the same owner or coordinator. The contents of the advance packets is described on page 18 of this report. The purpose of the packet was to familiarize the institution coordinators with the upcoming task, to give them the opportunity to begin locating records for the sample students, and to allow them some time to call with technical questions or staffing changes. Revisions to the institution contact file began as advance packets were returned by the postmaster. Revisions continued as calls were received from NPSAS institution coordinators or school administrators requesting further information about the study or notifying Westat of new institution addresses and coordinators.

Forms Mailing

Approximately two weeks after the advance packet mailing, during the first week of September, 1987, the forms packets were mailed to the institutions to begin the updating process. The forms packets contained the following materials:

- A cover letter from the Westat NPSAS National Field Director describing the contents of the package and, again, providing a toll-free number to call for technical assistance (Appendix A-8).
- Another copy of the Control List that had been included in the advance packet.
- Another copy of the instructions for completing the Student Financial Aid Records Update Form.

- A Student Financial Aid Records Update Form for each student listed on the control list.
- Shipping instructions for returning the completed forms to Westat, including a postage-paid mailing label (Appendix A-9).

The forms were packed in envelopes or boxes depending on the number of students in the sample for a particular institution (this number ranged from 2 to 567). All packages were sent to the designated institutional coordinator with some coordinators receiving packages for several related institutions. Coordinators were instructed to return all forms to Westat even if no updates were necessary and were asked to return them "as soon as possible".

Technical Assistance

On all correspondence sent to the institutions and during the course of every telephone contact, institutional coordinators were provided with a toll-free number to call if they had questions concerning the update task in general or specific problems in completing the forms. Westat operations staff were available to answer questions about specific data items and, in several instances, "walked-through" the entire update process with inexperienced coordinators. A total of 121 institutions called to request technical assistance, and several called up to three times. Technical assistance was also provided during Westat-initiated contacts, such as during non-response followup calls. All calls were documented on a Contact Summary Form (Appendix A-10) and retained in the institution contact folder. Any calls requesting authorization or policy clarifications were referred to NCES staff.

Telephone Prompt

Based on the number of coordinator and institution address changes discovered as a result of the advance packet mailing, it was decided that all institutions should be contacted by phone to ensure that the forms package was received. Therefore, two weeks after the mailing of the forms packages, a telephone prompt operation began. Between September 14 and October 2, 1987, calls were made by Westat's Telephone Research Center to approximately 1043 institutions (31 institutions had returned their completed forms before the prompt began). Interviewers were

given contact information on an Institution Information Sheet (Appendix A-11) and were trained to use the Telephone Prompt Script (Appendix A-12) to record the results of their calls. The main purposes of the telephone prompt were to determine whether or not the materials had been received by the correct person (or at all) and to obtain a target date for the return of the completed forms. If the institution reported not receiving the forms or misplacing them, arrangements were made to remail the forms. If a coordinator seemed hesitant about completing the forms or complained about lack of staff or time, the possibility of some alternative arrangements were discussed. For information purposes coordinators were asked if it would be possible to receive the completed forms earlier with a reimbursement for staff time or the assistance of a Westat data collector. These options were also discussed with the institutions during subsequent nonresponse followup calls.

Non-response Followup

As target completion dates were agreed to by institutions during the telephone prompt they were entered into the operations receipt system. Each week a listing was produced containing the name, institution ID, and target date for all institutions not yet received. This listing was scanned and all institutions more than one week late were recontacted by phone. The purpose of this call was to determine if progress was being made on completing the forms, to offer assistance if it seemed necessary, and to schedule a new target date. These calls were made by Westat operations staff and NCES staff members and were documented on the Target Date Revision Form (Appendix A-13). The number of different target dates per institution ranged from 0 (for those institutions returning their forms before the telephone prompt began) to a high of 5. Of the participating institutions, 216 institutions required 2 or more different target dates before returning their forms.

Special Arrangements

Initially, institutions were encouraged to complete the updating process themselves to ensure an accurate representation of their records. It was anticipated, however, that not all institutions would have the resources to complete this task within the scheduled time period. To

discourage non-participation due to time or staff constraints, two options were available. These were:

- Reimbursement to the institution for time spent by a regular employee (usually overtime) or a student hired specifically for this task, or
- A data collector visit to the institution for the purpose of completing the forms for the institution.

The desirability of these options was discussed with the institutions initially during the telephone prompt calls. These options were actually offered to the institutions during the nonresponse followup calls. During the course of these followup calls, three different interview guide forms were used (Appendix A-14 through A-16). The first two forms were used to document the needs of the institution and the third form was used to assess the availability of a particular data collector to accept and complete the assignment on schedule.

Of the 1,062 participating institutions, 40 requested reimbursement and 35 required data collectors. Table 2 shows the distribution of these institutions by type and control. All data collectors for the update task had previously worked on the initial institution data collection and were, therefore, familiar with the study and data to be updated. Data collectors were provided with the same written instructions for completing the forms that were sent to the institutions, along with a memo detailing potential areas of special concern (Appendix A-17). These materials were reviewed with the data collectors by phone before they began their update assignments. Institutions asking for reimbursement were asked to provide the name and title of the person who would be completing the update and the normal hourly wage for that person. Once approved, billing instructions were given to the institution coordinator.

A third type of special arrangement that was not in the original plan was telephone data collection. This method was used for 6 institutions during the final days of the data collection period. To accomplish this, a Westat operations staff member used a copy of the update form for the particular institution to record data as the institutional coordinator referred to student files. The sample size at these institutions ranged from 2 to 16 students.

Other Procedures

During the course of telephone prompt and non-response followup contacts with institutions it was occasionally discovered that the forms had never reached the institution or that the institution had misplaced the forms. This required reprinting of update forms and remailing to institutions. For the most part, the reprints were ordered from the printing vendor on an as-needed basis. However, three weeks prior to the scheduled closeout date for the task, forms for all outstanding institutions were reprinted in order to have them available for immediate express mailing if necessary. Update form packets were remailed to a total of 74 institutions and documented on the Remail Request Form (Appendix A-18).

Occasionally, packets of completed forms arrived from institutions with one or more forms missing. These cases were reported on a weekly basis to the operations staff by the data preparation group. An operations staff member recontacted the institution to attempt to complete the missing forms by phone. This process continued throughout the course of the data collection period.

Response

The final response to the Student Financial Records Update Task was very high. Only two institutions refused to participate citing lack of staff/time as their main reason. Ten institutions had closed between the earlier institution data collection and the update task. Table 10 summarizes the records update task response by institution type and control.

Table 10.–Institution response of student financial records update task, by control and level of institution

Control and level of institution	Total	Participated				Refused	Closed
		Self-reported	Reimbursed	Data collector	Telephone		
Total	1,074	981	40	35	6	2	10
Public							
Total	447	414	17	15	1	0	0
4-year doctoral	109	91	11	7	0	0	0
Other 4-year	97	91	2	4	0	0	0
2-year	185	178	3	4	0	0	0
Less than 2-year	56	54	1	0	1	0	0
Private, nonprofit							
Total	328	293	18	14	1	0	2
4-year doctoral	128	111	9	8	0	0	0
Other 4-year	119	109	7	3	0	0	0
2-year	56	51	1	3	0	0	1
Less than 2-year	25	22	1	0	1	0	1
Private for-profit							
Total	299	274	5	6	4	2	8
2-years or more	78	74	0	2	2	0	0
Less than 2-years	221	200	5	4	2	2	8

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1987 National Postsecondary Student Aid Study.

Data Processing

Data Receipt and Preparation

Student Financial Records Update Forms were returned from the institutions beginning in October, 1987. Figure 1 shows the percent of institutions and forms received each week during the data collection period.

The Receipt System

As forms were received, the institution ID was entered into the institution receipt control system. The forms were then counted and compared to the original control list to ensure that the institution had returned the correct number of forms. Discrepancies found in this process were referred to the operations staff for data retrieval. The date and number of forms received was entered into the student receipt system. As forms were batched for data entry, the student ID and batch number were entered into the batch control system.

Preparation and Data Entry

All forms returned by an institution were scan-edited. Updates were highlighted to make it easier for the data entry staff to quickly and accurately locate and key data. Problems related to the updated information, such as illegible writing, were referred to the receipt/editing supervisor. Any problems not resolved by the supervisor were referred to the operations staff for data retrieval contact with the institution. Forms with updated information were sent to data entry to be keyed and verified. Keyed data were received on a flow basis and checked for ID number corrections against the receipt system files. Corrections were made as necessary and final range and logic checks to verify data entry accuracy were completed.

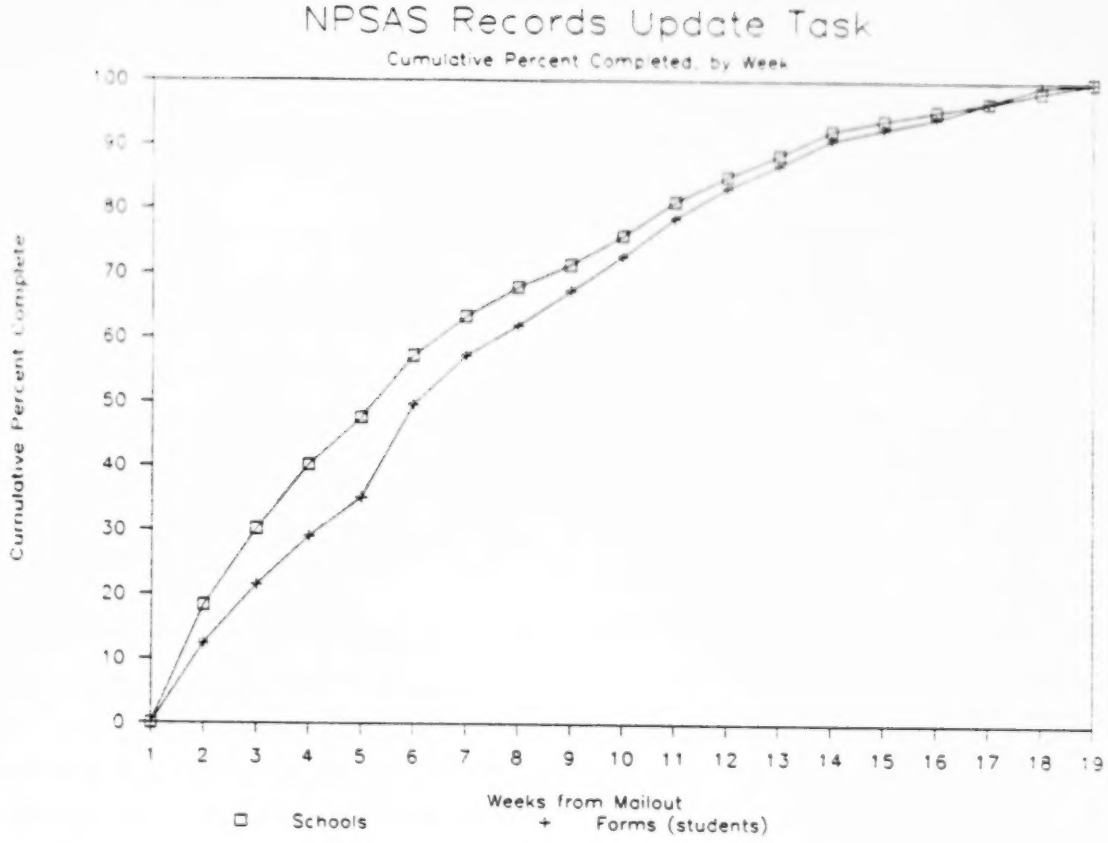

Figure 1. Percent of institutions responding and update forms received by week

Computer Updating of the Fall Records Data

The updates and corrections data received from institutions was applied to the NPSAS Fall Records Data File through a computerized updating process. This process involved three phases summarized in Figure 2.

In the first phase the *records update file* with one record per student per item was converted into a *student update file* with one record per student containing the institution reported corrections or updates. The format of this file was the same as the fall records data file.

In the second phase the *fall records file* and the *student update file* were read by the update program in order to replace original fall records values with updated values where appropriate. This program included extensive logic to perform edit checks to the updated values. This assured that the updated values were edited according to the same extensive range and inter-item consistency (logic) checks used previously to edit the fall records data. Two files were produced, an updated fall records file and a journal file recording all updates in detail, including old and new values for updated items and a flag describing the nature of the update.

In the third phase the results of the update were evaluated using the journal file and the updated fall records data file. This evaluation included examining each case where there were unusually large changes in data values, a statistical assessment of the update by comparing the distributions of original and updated values, and an analysis of school-level patterns of updating to detect systematic reporting biases within schools.

Approximately five iterations of the second and third phases were required to refine the update program in order to take all contingencies into account. The updated fall records data file was delivered to NCES in early April, 1988.

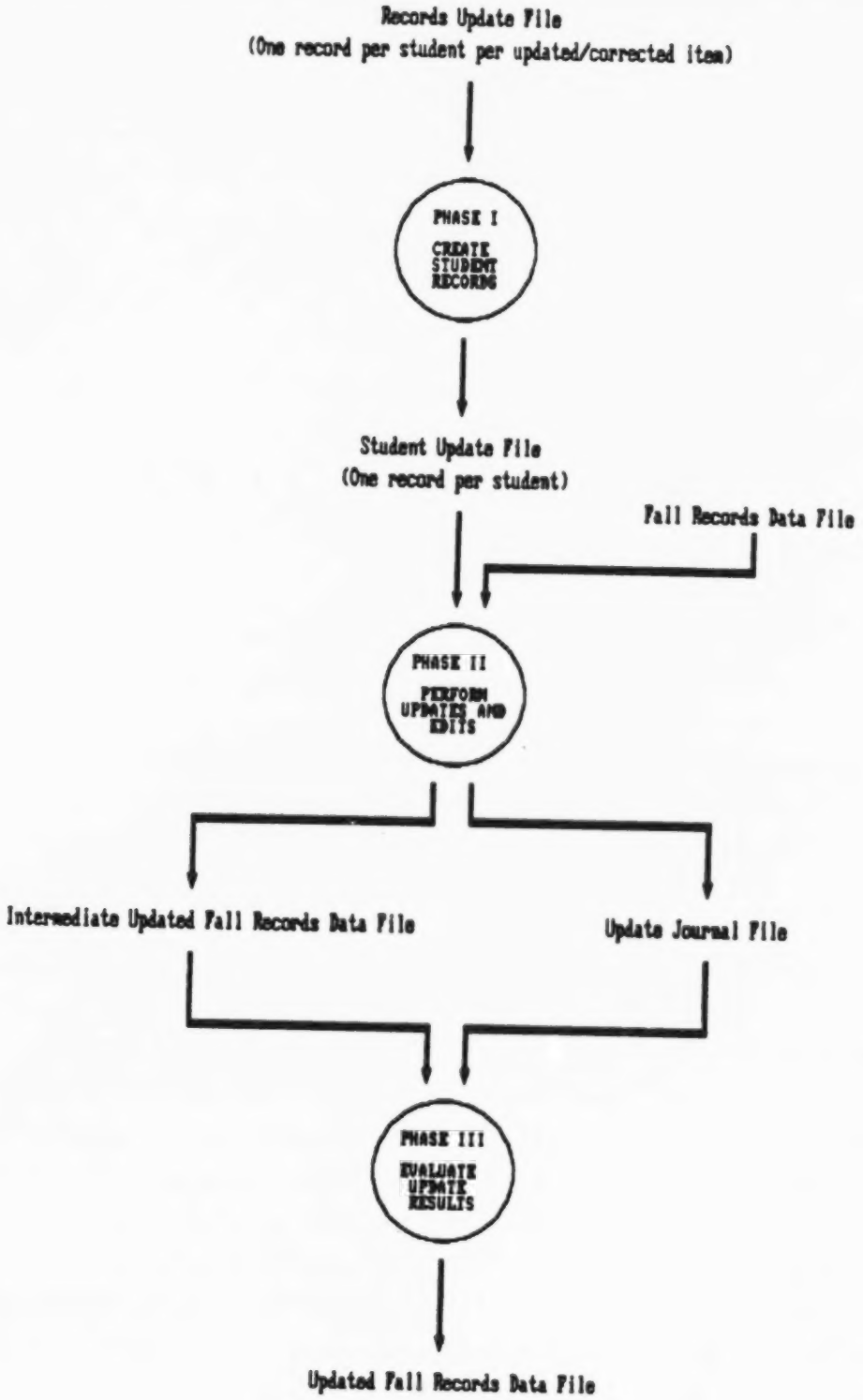

Figure 2. Computerized records update process

Appendix A-1. Student financial records update form

OMB No. 1850-0595
Expiration Date: 12/87

NATIONAL POSTSECONDARY STUDENT AID STUDY
STUDENT FINANCIAL RECORDS UPDATE FORM

INSTITUTION NAME: _____	NPSAS INSTITUTION I.D. 10421002
STUDENT NAME: _____	NPSAS STUDENT I.D. _____
STUDENT I.D.: _____	

1. STUDENT'S VETERAN STATUS

VETERAN ☐ ——> DATE OF INITIAL ENLISTMENT ☐☐ (MONTH) 19☐☐ (YEAR) (6)
NON-VETERAN ☐
DON'T KNOW ☐

	RECORD ABSTRACT INFORMATION	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION	
2. STUDENT'S MARITAL STATUS	UNMARRIED	☐	_____	(7)
3. STUDENT'S DEPENDENCY STATUS	INDEPENDENT	☐	_____	(8)
4. STUDENT'S PELL STUDENT AID INDEX	NOT SPECIFIED	☐	☐☐☐☐☐☐	(9)
5. **DEPENDENT [INDEPENDENT]** Student Family Information				
A. Total number in household in 1986-87 (SAR-Q22)	1	☐	☐☐	(10)
B. Total number in household in college at least 1/2 time in 1986-87 (SAR-Q23 & Q24)	1	☐	☐☐	(11)
C. Parents' [Student's (spouse's)] IRS adjusted gross income (SAR-Q27)	$8,272	☐	☐☐☐☐☐☐.00	(12)
D. Parents' [Student's (spouse's)] Federal income tax paid (SAR-Q28)	$626	☐	☐☐☐☐☐☐.00	(13)
E. Parents' [Student's (spouse's)] total untaxed income and benefits (SAR-Q34 & Q35 & Q36)	NONE	☐	☐☐☐☐☐☐.00	(14)
F. Parents' [Student's (spouse's)] assets (current worth less amount owed)				
Home equity (SAR-Q45 less Q46)	NONE	☐	☐☐☐☐☐☐.00	(15)
Other real estate and investment (SAR-Q47 less Q48)	NONE	☐	☐☐☐☐☐☐.00	(16)
Business/farm (SAR-Q49 less Q50)	NONE	☐	☐☐☐☐☐☐.00	(17)

1

NOTE: These are the line numbers referred to in Table 1.

Appendix A-1. Student financial records update form (continued)

B. FINANCIAL AID

A. Federal Aid

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months	
1. Pell Grant:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(18)
2. SEOG:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(19)
3. NDSL:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(20)
4. CWSP:						
a. Amount Awarded	NOT REPORTED	NOT REPORTED	☐			(21)
b. Amount Earned in 1986/87 School Year				☐☐☐☐☐.00		(22)
5. GSL/FISL loan to student (without deduction):	$2,500	NOT REPORTED	☐	☐☐☐☐☐.00	10	(23)
6. PLUS loan to parents (without deduction):	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(24)
7. PLUS/ALAS loan to students (without duduction):	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(25)
8. Health Profession Grant:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(26)
9. Health Profession Loan:						
a. HEAL	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(27)
b. HPSL	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(28)
c. Other health profession loan	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(29)
10. Nursing Grant:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(30)
11. Nursing Loan:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(31)

2

NOTE: These are the line numbers referred to in Table 1.

Appendix A-1. Student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	RECORD ABSTRACT INFORMATION Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	UPDATED FINANCIAL RECORDS INFORMATION Length of award in months	
12. Veterans Administration:						
a. Grant	NOT REPORTED	NOT REPORTED	☐	.00		(32)
b. Fellowship	NOT REPORTED	NOT REPORTED	☐	.00		(33)
c. Assistantship	NOT REPORTED	NOT REPORTED	☐	.00		(34)
d. Loan	NOT REPORTED	NOT REPORTED	☐	.00		(35)
13. Department of Defense:						
a. Grant	NOT REPORTED	NOT REPORTED	☐	.00		(36)
b. Fellowship	NOT REPORTED	NOT REPORTED	☐	.00		(37)
c. Assistantship	NOT REPORTED	NOT REPORTED	☐	.00		(38)
d. ROTC stipend	NOT REPORTED	NOT REPORTED	☐	.00		(39)
e. Loan	NOT REPORTED	NOT REPORTED	☐	.00		(40)
14. National Science Foundation:						
a. Grant	NOT REPORTED	NOT REPORTED	☐	.00		(41)
b. Fellowship	NOT REPORTED	NOT REPORTED	☐	.00		(42)
c. Assistantship	NOT REPORTED	NOT REPORTED	☐	.00		(43)
d. Loan	NOT REPORTED	NOT REPORTED	☐	.00		(44)
15. Department of Agriculture						
a. Grant	NOT REPORTED	NOT REPORTED	☐	.00		(45)
b. Fellowship	NOT REPORTED	NOT REPORTED	☐	.00		(46)
c. Assistantship	NOT REPORTED	NOT REPORTED	☐	.00		(47)
d. Loan	NOT REPORTED	NOT REPORTED	☐	.00		(48)

U104210020057

NOTE: These are the line numbers referred to in Table 1.

Appendix A-1. Student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months	
16. All other Federal aid:						
a. Grant	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(49)
b. Fellowship	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(50)
c. Assistantship	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(51)
d. Loan	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(52)
B. State Aid						
1. Merit-based grant/scholarship/ fellowship:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(53)
NY ONLY a. Regents College Scholarship	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(54)
NY ONLY b. Other	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(55)
2. SSIG (Include both State and Federal components):	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(56)
3. Other need-based grant aid:	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(57)
a. TAP	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(58)
b. STAP	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(59)
NY ONLY c. APTS	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(60)
d. Opportunity Grants (HEOP, EOP, SEEK, CD)	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(61)
e. Other	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(62)
4. State entitlement	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(63)
5. Work study awarded (not CWSP):	NOT REPORTED	NOT REPORTED	☐	☐☐☐☐☐.00	☐☐	(64)

4

NOTE: These are the line numbers referred to in Table 1.

Appendix A-1. Student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	RECORD ABSTRACT INFORMATION Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	UPDATED FINANCIAL RECORDS INFORMATION Length of award in months	
6. Need-based loan (not including GSL/FISL):	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(65)
7. Other state aid:						
a. Grant	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(66)
b. Loan	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(67)
Institutional Aid						
1. Non-need based, non-Federal scholarship:	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(68)
2. Need-based grant:	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(69)
3. Institutionally sponsored college work study awarded (estimated academic year earnings):	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(70)
4. Tuition waivers or discounts:	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(71)
5. Fellowship awards:	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(72)
6. Assistantship awards	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(73)
7. Need-based long-term loan (deferred until after student leaves school, non-GSL/FISL):	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(74)
8. Other long-term loan (non-GSL/FISL):	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(75)
9. Employee benefit waivers or discounts:	NOT REPORTED	NOT REPORTED	☐	|_|_|_|_|_|.00	|_|_|	(76)

NOTE: These are the line numbers referred to in Table 1.

Appendix A-1. Student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months	
10. Employee benefit dependant waivers or discounts:	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(77)
11. Other institutional:						
a. Grant	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(78)
b. Loan	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(79)
D. All Other Aid (Outside/private grants/scholarships):						
1. Corporations	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(80)
2. Employer-provided tuition benefits	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(81)
3. Unions	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(82)
4. Foundations	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(83)
5. Fraternal organizations	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(84)
6. Community Organizations	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(85)
7. Other, specify _____	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(86)
8. Source unknown	NOT REPORTED	NOT REPORTED	☐	|||||.00	||	(87)
7. OTHER FINANCIAL CONTRIBUTIONS						
A. Outside/private loans:	NOT REPORTED		☐	|||||.00		(88)
B. Off-campus earnings:	NOT REPORTED		☐	|||||.00		(89)
C. Other on-campus earnings (not CWSP):	NOT REPORTED		☐	|||||.00		(90)

PERSON WHO COMPLETED THIS FORM

_____ Name

_____ Telephone No.

_____ Title

NOTE: These are the line numbers referred to in Table 1.

Appendix A-2. Records update task - control list

PAGE 1

NATIONAL POSTSECONDARY STUDENT AID STUDY
RECORDS UPDATE TASK - CONTROL LIST

NPSAS I.D.	STUDENT ID	STUDENT NAME	FINANCIAL AID STATUS: REC ABSTRACT INFORMATION YES	REC ABSTRACT INFORMATION NO	UPDATED INFORMATION YES	UPDATED INFORMATION NO
C01	527-55-8461		X			
C02	568-66-2064		X			
C03	527-75-4313		X			
C04	231-94-6329		X			
C05	526-33-1213		X			
C06	527-21-4250		X			
C07	527-69-4544		X			
C08	317-76-2489		X			
C09	526-73-2534		X			
C10	526-55-4992		X			
C11	585-52-2222		X			
C12	527-83-5661		X			
C13	527-37-8643		X			
C14	526-06-3139		X			
C15	529-06-3942		X			
C16	456-49-1650		X			
C17	526-04-4631		X			
C18	526-94-6969		X			
C19	275-66-7906			X		
C20	380-42-0255		X			
C21	377-72-5404		X			
C22	601-14-2766			X		
C23	461-98-6471		X			
C24	526-19-8081		X			
C25	058-56-2059			X		
C26	478-62-4686			X		
C27	547-53-7164		X			
C28	526-97-3553			X		
C29	550-78-6771		X			
C30	518-04-7314		X			
C31	383-38-7144			X		
C32	526-57-3121		X			
C33	304-60-7398		X			
C34	526-51-1136		X			
C35	457-11-3055		X			

SCHOOL ID: 10421028

TOTAL NUMBER OF PAGES 1

Appendix A-3. Westat cover letter for advance packet

NATIONAL POSTSECONDARY STUDENT AID STUDY

U.S. Department of Education
Office of Educational Research and Improvement
Center for Education Statistics

August 198*

Since our visit to your institution earlier this year we have collected data on approximately 60,000 students from 1,075 institutions participating in the National Student Postsecondary Student Aid Study (NPSAS). We are currently coding and processing the registrar and financial aid data that we collected. Since the information may have changed over the past several months, we are requesting that institutions review and update the financial aid data collected earlier.

Included in this packet are some materials explaining how you will be able to update the NPSAS financial aid data for your institution. These materials are:

- A letter from Emerson Elliott, Director of the Center for Education Statistics, U.S. Department of Education, introducing this task and asking for your continued cooperation.
- A letter from Dallas Martin, Executive Director of the National Association of Student Financial Aid Administrators, endorsing this update task and encouraging your participation.
- A copy of the control list which contains the names and institution I.D. numbers of the students in the NPSAS sample for your institution.
- A draft copy of the Student Financial Records Update Form.
- A set of instructions for completing the Student Financial Records Update Forms.

These materials are being sent in advance to help you prepare to update NPSAS financial aid data. The actual forms to be used for updating information will be sent to you in a separate package within the next two weeks. There will be a form for each NPSAS student listed on the enclosed control list.

If you have any questions about these materials or the updating process, please feel free to call me or Peter Pretkel, toll-free at Westat, (800)638-8985. In Maryland, call collect (301)251-1500.

Sincerely,

Diane Ward

Diane Ward
NPSAS National Field Director

Enclosures

Conducted by WESTAT • 1650 Research Blvd • Rockville, MD 20850 • (301) 251-1500

Appendix A-4. NCES Advance letter

UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF THE ASSISTANT SECRETARY
FOR EDUCATIONAL RESEARCH AND IMPROVEMENT

CENTER FOR EDUCATION STATISTICS

August 1987

Dear Institutional Coordinator:

We would like to thank you for participating in the 1987 National Postsecondary Student Aid Study (NPSAS). As you know from the newsletter we recently sent, NPSAS is well underway to obtaining the data needed to inform important policy concerns regarding student financial aid.

As you may also know, in the process of conducting NPSAS, we have been in close contact with the financial aid community - both those who provide data and those who will use the NPSAS data. Through these contacts CES has become very aware of the need to collect the most reliable and valid financial aid data possible. To achieve this goal, we need your active participation in NPSAS once again. Specifically, at the beginning of August we will be asking you to review and update the financial aid data collected on each student in our sample from your institution. These are the data that were collected by our interviewers this winter. We would like you to update this information with the student's end-of-year financial aid awards and award amounts.

Although we recognize this is not a trivial task, we, and our advisors, believe it is essential for maintaining the credibility of the financial aid data that we trust will be the hallmark of the study. I have enclosed a letter from Dallas Martin, Executive Director of the National Association of Student Financial Aid Administrators, endorsing this effort and encouraging institutions to assist us. This letter also expresses his personal belief in the need for updated financial aid record data and urges your cooperation.

We deeply appreciate your assistance on behalf of the Center and this landmark study and we look forward to a continuing collegial relationship.

Sincerely,

Emerson J. Elliott
Director

Enclosures

WASHINGTON, D.C. 20208

Appendix A-5. Endorsement advance letter

nasfaa

NATIONAL ASSOCIATION OF STUDENT FINANCIAL AID ADMINISTRATORS

1776 Massachusetts Avenue N.W. Suite 100 Washington D.C. 20036
Phone (202) 785-0453
Hotline (202) 785-0451

July 1, 1987

Dear Colleague:

Earlier this year your institution was visited by the Center for Education Statistics' contractor, Westat, Inc., to collect data for the National Postsecondary Student Aid Study.

The purpose of this study is to develop a comprehensive national student data base that will enable policy makers to evaluate: who is receiving student aid; how much students are borrowing; how parents and students are paying for postsecondary education; and many other related questions.

In order to ensure the results are reliable, it is essential that the data is used accurately to reflect the specific amounts selected students received. Since the initial data collection occurred in mid-year, there are many instances in which the actual aid awarded to a student will have changed during the award year. Therefore, it is very important the initial data be reviewed and corrected if necessary, to reflect the actual amounts provided.

The Center for Education Statistics will be providing you with a complete roster of all of the data initially collected on each individual student. We strongly encourage you to carefully review this data, make any necessary corrections, and return it to the Center for Education Statistics' contractor, Westat, Inc., as soon as you have finalized all of your student records for the 1986-87 award year.

While we realize that this will add to your already busy workload, it is essential that the study be based on accurate data. Your assistance in this important study is greatly appreciated.

Sincerely,

Dallas Martin
Executive Director

ADM/rct

Appendix A-6. Draft copy of student financial records update form

OMB No. 0000-0000
Expiration Date: 12/87

NATIONAL POSTSECONDARY STUDENT AID STUDY
STUDENT FINANCIAL RECORDS UPDATE FORM

INSTITUTION NAME: _____

STUDENT NAME: _____

STUDENT LD.: _____

[redacted] _____

[redacted] _____

1. STUDENT'S VETERAN STATUS

VETERAN |_| —> DATE OF INITIAL ENLISTMENT |_|_| |_|9|_|_|
NON-VETERAN |_| MONTH YEAR
DON'T KNOW |_|

	RECORD ABSTRACT INFORMATION	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION
2. STUDENT'S MARITAL STATUS	_____	|_|	_____
3. STUDENT'S DEPENDENCY STATUS	_____	|_|	_____
4. STUDENT'S PELL STUDENT AID INDEX	_____	|_|	|_|_|_|_|_|_|
5. DEPENDENT [INDEPENDENT] Student Family Information			
A. Total number in household in 1986-87 (SAR-Q22)	_____	|_|	|_|_|
B. Total number in household in college at least 1/2 time in 1986-87 (SAR-Q23 & Q24)	_____	|_|	|_|_|
C. Parents' [Student's (spouse's)] IRS adjusted gross income (SAR-Q27)	_____	|_|	|_|_|_|_|_|_|_| .00
D. Parents' [Student's (spouse's)] Federal income tax paid (SAR-Q28)	_____	|_|	|_|_|_|_|_|_|_| .00
E. Parents' [Student's (spouse's)] total untaxed income and benefits (SAR-Q34 & Q35 & Q36)	_____	|_|	|_|_|_|_|_|_|_| .00
F. Parents' [Student's (spouse's)] assets (current worth less amount owed)			
Home equity (SAR-Q45 less Q46)	_____	|_|	|_|_|_|_|_|_|_| .00
Other real estate and investment (SAR-Q47 less Q48)	_____	|_|	|_|_|_|_|_|_|_| .00
Business/farm (SAR-Q49 less Q50)	_____	|_|	|_|_|_|_|_|_|_| .00

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Appendix A-6. Draft copy of student financial records update form (continued)

6. **FINANCIAL AID**

A. Federal Aid

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	RECORD ABSTRACT INFORMATION Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION ↓	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	UPDATED FINANCIAL RECORDS INFORMATION Length of award in months	
1. Pell Grant:	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(18)
2. SEOG:	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(19)
3. NDSL:	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(20)
4. CWSP:						
a. Amount Awarded	_____	_____	|_|			(21)
b. Amount Earned in 1986/87 School Year				|_|_|_|_|_|.|0|0|		(22)
5. GSL/FISL loan to student (without deduction):	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(23)
6. PLUS loan to parents (without deduction):	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(24)
7. PLUS/ALAS loan to students (without deduction):	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(25)
8. Health Profession Grant	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(26)
9. Health Profession Loan:						
a. HEAL	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(27)
b. HPSL	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(28)
c. Other health profession loan	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(29)
10. Nursing Grant:	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(30)
11. Nursing Loan:	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(31)

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Appendix A-6. Draft copy of student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months
12. Veterans Administration:					
a. Grant	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
b. Fellowship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
c. Assistantship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
d. Loan	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
13. Department of Defense:					
a. Grant	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
b. Fellowship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
c. Assistantship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
d. ROTC stipend	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
e. Loan	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
14. National Science Foundation:					
a. Grant	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
b. Fellowship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
c. Assistantship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
d. Loan	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
15. Department of Agriculture:					
a. Grant	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
b. Fellowship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
c. Assistantship	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|
d. Loan	_____	_____	|_|	|_|_|_|_|_|.|Q|Q|	|_|_|

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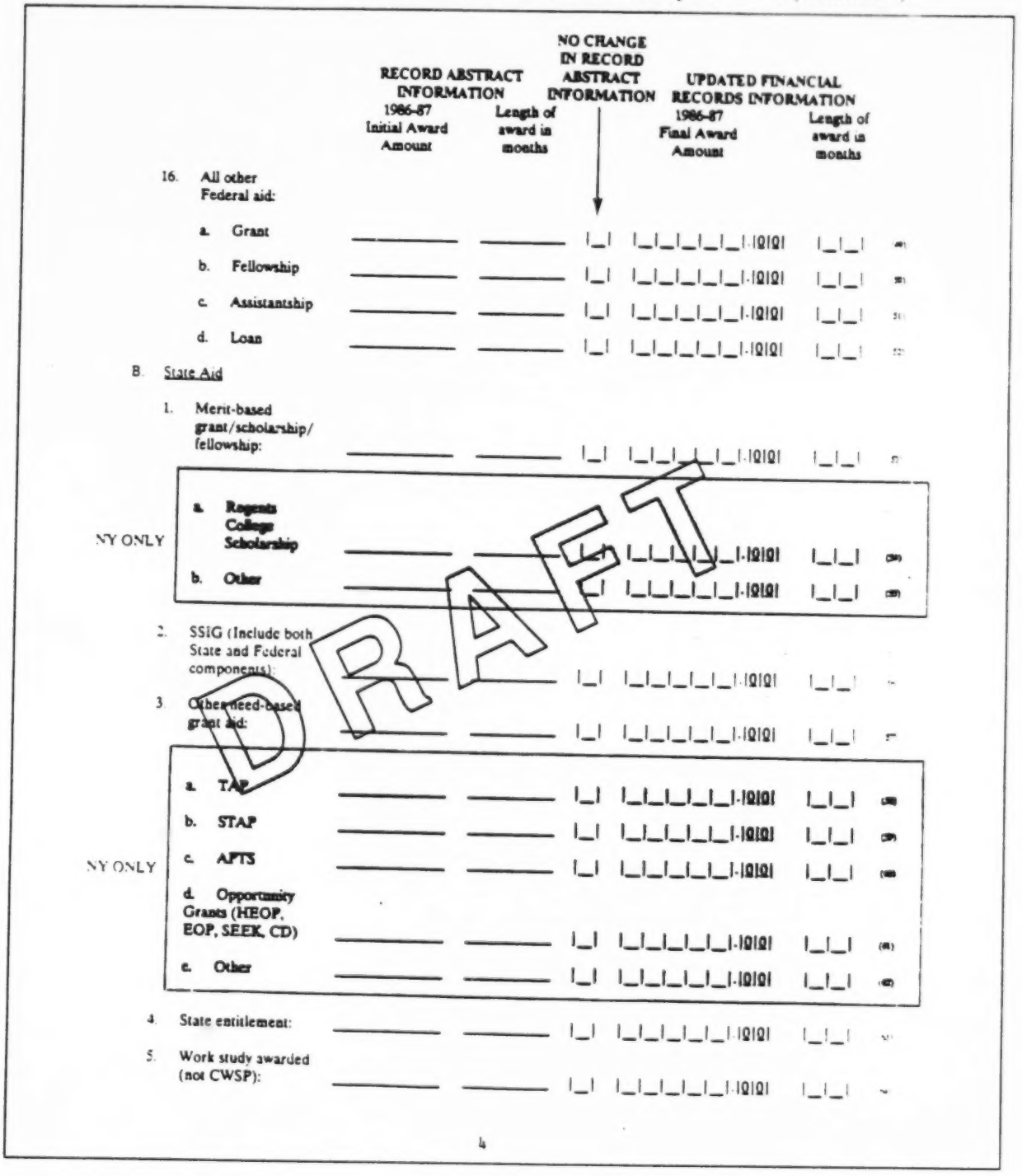
Appendix A-6. Draft copy of student financial records update form (continued)



	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months
16. All other Federal aid:					
a. Grant	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
b. Fellowship	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
c. Assistantship	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
d. Loan	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
B. State Aid					
1. Merit-based grant/scholarship/ fellowship:	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY a. Regents College Scholarship	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY b. Other	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
2. SSIG (Include both State and Federal components):	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
3. Other need-based grant aid:	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY a. TAP	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY b. STAP	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY c. APTS	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY d. Opportunity Grants (HEOP, EOP, SEEK, CD)	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
NY ONLY e. Other	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
4. State entitlement:	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|
5. Work study awarded (not CWSP):	_____	_____	|_|	|_|_|_|_|_|_|.00	|_|_|_|

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Appendix A-6. Draft copy of student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months	
6. Need-based loan (not including GSL/FISL):	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	45
7. Other state aid:						
a. Grant	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	46
b. Loan	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	47
C. Institutional Aid						
1. Non-need based, non-Federal scholarship:	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	48
2. Need-based grant:	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	49
3. Institutionally sponsored college work study awarded (estimated academic year earnings):	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	50
4. Tuition waivers or discounts:	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	51
5. Fellowship awards:	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	52
6. Assistantship awards:	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	53
7. Need-based long-term loan (deferred until after student leaves school, non-GSL/FISL):	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	54
8. Other long-term loan (non-GSL/FISL):	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	55
9. Employee benefit waivers or discounts:	_____	_____	|_|	|_|_|_|_|_|.00	|_|_|	56

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Appendix A-6. Draft copy of student financial records update form (continued)

	RECORD ABSTRACT INFORMATION 1986-87 Initial Award Amount	Length of award in months	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION 1986-87 Final Award Amount	Length of award in months	
10. Employee benefit dependent waivers or discounts:	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(77)
11. Other institutional:						
a. Grant	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(78)
b. Loan	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(79)
D. All Other Aid (Outside/private grants/scholarships):						
1. Corporations	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(80)
2. Employer-provided tuition benefits	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(81)
3. Unions	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(82)
4. Foundations	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(83)
5. Fraternal organizations	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(84)
6. Community organizations	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(85)
7. Other, specify: _____	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(86)
8. Source unknown	_____	_____	|_|	|_|_|_|_|_|.|0|0|	|_|_|	(87)
7. OTHER FINANCIAL CONTRIBUTIONS						
A. Outside/private loans:	_____		|_|	|_|_|_|_|_|.|0|0|		(88)
B. Off-campus earnings:	_____		|_|	|_|_|_|_|_|.|0|0|		(89)
C. Other on-campus earnings (not CWSP):	_____		|_|	|_|_|_|_|_|.|0|0|		(90)

PERSON WHO COMPLETED FORM

_____ ( ) _____

Name Telephone No.

_____

Title

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Appendix A-7. Instructions for completing the student financial records update form

INSTRUCTIONS FOR COMPLETING THE NATIONAL POSTSECONDARY STUDENT AID STUDY STUDENT FINANCIAL RECORDS UPDATE FORM

OUR RECORDS SHOW THAT APPROXIMATELY _ STUDENTS WERE SELECTED FROM YOUR INSTITUTION TO BE INCLUDED IN THE NPSAS. A SEPARATE STUDENT FINANCIAL RECORDS UPDATE FORM WILL BE SENT TO YOU FOR EACH OF THESE STUDENTS

CONDUCTED

FOR

U.S. DEPARTMENT OF EDUCATION

CENTER FOR EDUCATION STATISTICS

BY

WESTAT, INC.

AUGUST 1987

Appendix A-7. Instructions for completing the student financial records update form (continued)

QUESTIONS 6-7:

6. FINANCIAL AID	Column 1	Column 2	Column 3	
A. Federal Aid	RECORD ABSTRACT INFORMATION	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION	
	1986-87 Initial Award Amount / Length of award in months	↓	1986-87 Final Award Amount / Length of award in months	
1. Pell Grant:	NOT REPORTED _____	|_|	|_|_|_|_|_|.|0|0| |_|_|	(18)
2. SEOG:	NOT REPORTED _____	|_|	|_|_|_|_|_|.|0|0| |_|_|	(19)
3. NDSL:	~~$8000.00~~ 1000.00 _____ 9	|_|	|_|_|_|_|_|.|0|0| |_|_|	(20)

These are multiple part questions concerning the types and amounts of financial aid awarded to this student. Although several pages are required to list the various types of aid falling into the four major categories (Federal, State, institutional, all other), only a small portion will apply to any one student. Note that the "RECORD ABSTRACT INFORMATION" and "UPDATED FINANCIAL RECORDS INFORMATION" items are further divided to provide information on both the award amount and the length of the award in months. The "RECORD ABSTRACT INFORMATION" will show the previously collected information and any updates to this information should be recorded in the blank columns under "UPDATED FINANCIAL RECORDS INFORMATION." For students in the sample who received financial aid after we collected financial aid record data at your institution, please provide the relevant aid information on the appropriate line in the "UPDATED FINANCIAL RECORDS INFORMATION" columns. Again, out-of-range amounts will be identified by an asterisk (*). Please correct this information by drawing a single line through the information in column 1 and record the corrected information above it.

QUESTION 6A4:

4. CWSP:				
a. Amount Awarded	$1000.00	12	|_|	(21)
b. Amount Earned in 1986/87 School Year			|_|_|_|_|_|.|0|0|	(22)

CWSP (College Work Study Program) - Please note that in part a of this item you will be provided with an initial award amount. In part b of this item, please enter the total amount actually earned by the student in this program during the 1986-87 school year.

Appendix A-7. Instructions for completing the student financial records update form (continued)

QUESTIONS 2-5:

	Column 1	Column 2	Column 3	
	RECORD ABSTRACT INFORMATION	NO CHANGE IN RECORD ABSTRACT INFORMATION	UPDATED FINANCIAL RECORDS INFORMATION	
2. STUDENT'S MARITAL STATUS	Married	|_|	_____	(7)
3. STUDENT'S DEPENDENCY STATUS	Independent	|_|	_____	(8)
4. STUDENT'S PELL STUDENT AID INDEX	NOT REPORTED	|_|	|_|_|_|_|_|_|_|	(9)
5. DEPENDENT [INDEPENDENT] Student Family Information				
A. Total number in household in 1986-87 (SAR-Q22)	3 ~~15*~~	|_|	|_|_|	(10)

Following the veteran status are six main types of information to be reviewed. Lines 2-5 of these appear on page 1 in the format shown above. For these items, three columns will be provided.

- The first column is headed "RECORD ABSTRACT INFORMATION." This column contains information that was collected during our visit to your institution. If an item is shown as "NOT REPORTED" it means that our data collector did not find any applicable information in the student's record.
- The second column, titled "NO CHANGE IN RECORD ABSTRACT INFORMATION" is provided for you to indicate that you have reviewed the information and there has been no change. Place a checkmark (✓) in the box for each item in which there has been no change.
- The third column, "UPDATED FINANCIAL RECORDS INFORMATION" is for you to record any changes to the information shown in the first column. If the first column indicates "NOT REPORTED" for any item and your student record now has data available, please record this information in the third column. For students who did not initially have aid, use column 3 to record any applicable information you may now have.

In your review of all information, please consider the fact that we are currently in the process of editing the data previously collected. During this process we have identified some items that contain amounts which we consider to be outside the normal range of acceptable values. These amounts will be shown followed by an asterisk (*). We ask that you review these items carefully and, if the initial information is not the value in your records, please indicate this by drawing a single line through the information in column 1 and record the corrected information above it, as shown in the example.

DEPENDENCY STATUS - This item (Item 3) is based on the definition used for determining eligibility for Federal financial aid programs. If there has been a change in the student's status, record the updated status in the third column.

DEPENDENT [INDEPENDENT] STUDENT FAMILY INFORMATION - Items 5A-5F contain family financial information for the student. If the student is dependent, the information shown will be for the parent. If the student is independent, student (and spouse) information will appear. In either case, updated information should be entered in the third column.

Appendix A-7. Instructions for completing the student financial records update form (continued)

This sheet provides instructions for completing the enclosed forms for the U.S. Department of Education's National Postsecondary Student Aid Study (NPSAS). These forms contain student financial records information that was collected from your institution by Westat earlier this year. A separate form is provided for each student (both aided and non-aided) in your institution who was included in the NPSAS sample. Each form shows the financial aid information already collected about the student and asks that you either indicate that there has been no change in the original information or provide the final end-of-year award information.

IDENTIFYING BOX:

INSTITUTION NAME: NPSAS College
STUDENT NAME: Smith, John W.
STUDENT I.D.: 462-47-0376

NPSAS
INSTITUTION I.D. 123456
NPSAS STUDENT I.D. 01234567XXXX

The sampled student is identified on the form by name and the student I.D. number. This information is located in the left side of the box at the top of the first page of the form. Additional information for Westat use is shown in the shaded, right side of the box.

QUESTION 1:

1. STUDENT'S VETERAN STATUS

VETERAN |_| --> DATE OF INITIAL ENLISTMENT |_|_| |1|9|_|_| (a)
NON-VETERAN |_| MONTH YEAR
DON'T KNOW |_|

VETERAN STATUS - Although this information was not collected initially, it will be helpful to the analysis of the NPSAS data. Please place a checkmark (✓) in the appropriate box to indicate status. If the student is a veteran, enter the month (2 digits) and year (last 2 digits) of his/her initial enlistment in the space provided.

Appendix A-8. Westat cover letter for forms packet

NATIONAL POSTSECONDARY STUDENT AID STUDY

U.S. Department of Education
Office of Educational Research and Improvement
Center for Education Statistics

August 1987

Dear

Recently we sent you an advance packet of information concerning the updating of the student financial aid records for the National Postsecondary Student Aid Study (NPSAS). As we explained, we are currently coding and processing the registrar and financial aid data that we collected earlier this year. Since the information may have changed, we are requesting that institutions review and update the financial aid data.

Included in this packet are the materials you will need to update the NPSAS financial aid data for your institution. These materials are:

- Control list which contains the names and institution I.D. numbers of the students in the NPSAS sample for your institution. (A copy was also included in the advance mailing.)
- A set of instructions for completing the Student Financial Records Update Forms.
- A Student Financial Records Update Form for each student listed on the control list.
- Instructions for returning the completed forms to Westat (including a postage-paid mailing label).

Although we realize that this is a very busy time of year for you, we would appreciate receiving your completed forms as soon as possible. Please return all of the forms, even if no changes are made.

If you have any questions about these materials or the updating process, please feel free to call me or Joan Poulin, toll-free at Westat, (800)937-8281. In Maryland, call collect (301)251-1500.

Sincerely,

Diane Ward
NPSAS National Field Director

Enclosures

Conducted by WESTAT • 1650 Research Blvd • Rockville, MD 20850 • (301) 251-1500

Appendix A-9. Shipping instructions

NPSAS Records Update Task
Instructions for Returning the Completed Forms

Please note the following when returning the completed forms:

- Enclose all forms, even forms for which updates were not necessary. (To assist us in processing, we would prefer that the forms be returned in the order they appear on the control list.)
- Enclose a copy of the control list of students.
- Use the postage paid label that we have enclosed or mail to:

  National Postsecondary Student Aid Study
  Student Financial Aid Records Update Task
  P.O. Box 10428
  Rockville, Maryland 20850

- Mail in one envelope or box if possible. Label multiple envelopes so that we know how many to expect, for example, "1 of 2"; "2 of 2", etc.

If you have any questions about returning the forms, please feel free to call Peter Pretkel or Diane Ward, toll-free at Westat, (800) 937-8281. In Maryland, call collect (301) 251-1500.

NO POSTAGE
NECESSARY
IF MAILED
IN THE
UNITED STATES

BUSINESS REPLY MAIL

FIRST CLASS PERMIT NO. 1596 ROCKVILLE, MD

POSTAGE WILL BE PAID BY ADDRESSEE

National Postsecondary Student Aid Study
Student Financial Aid Records Update Task
P.O. Box 10428
Rockville, Maryland 20850

911451

Appendix A-10. Contact summary form

NATIONAL POSTSECONDARY STUDENT AID STUDY
RECORDS UPDATE STUDY
CONTACT SUMMARY FORM

INSTITUTION NAME _____ INSTITUTION ID _____

CONTACT _____ TELEPHONE _____

PROBLEM: _____

SOLUTION: _____

DATE: _____ RESOLVED BY: _____

Appendix A-11. Institution information sheet

NATIONAL POSTSECONDARY STUDENT AID STUDY

RECORDS UPDATE TASK

WAVE #: 2 SAMPLE SIZE: 85 INSTITUTION ID: 16520189

TYPE: PHD GRANTING CONTROL: PUBLIC BEST DATE FOR REVISIT: 08

INSTITUTION NAME:

STREET:

CITY: STATE: ZIP: 70148

COORDINATOR NAME:

TITLE: DIR STD FIN AID

TELEPHONE #: (504) 286-6603 EXT:

COMMENTS

Appendix A-12. Telephone prompt script

STUDENT FINANCIAL RECORDS UPDATE TASK

TELEPHONE PROMPT SCRIPT

Hello, my name is _____, and I am calling on behalf of the U. S. Department of Education concerning the National Postsecondary Student Aid Study. We recently sent you some materials requesting that you update the student financial information we collected from the files at your institution earlier this year.

1. Did you receive the materials? (DESCRIBE THE ADVANCE PACKET AND THE FORMS PACKET IF NECESSARY.)

YES.....1
NO.....2(BOX A)

BOX A
IF THE PACKET HAS NOT BEEN RECEIVED, CONFIRM THE NAME AND ADDRESS OF THE SCHOOL AND COORDINATOR AND RECORD ANY CHANGES ON THE INFORMATION SHEET. THEN EXPLAIN THAT SOMEONE WILL BE CALLING THEM BACK IN A FEW DAYS.

---

2. Have you had a chance to review the materials?

YES.....1
NO.....2

COMMENTS: _____

_____

_____

3. Since we are currently trying to plan for the handling of the completed forms in our office, could you please tell me approximately when you will be able to update the forms and mail them back to us? (PROBE FOR A SPECIFIC WEEK OR RECORD THE REASON FOR NOT COMPLETING THE FORMS. IF THE INSTITUTION FEELS THAT NO UPDATING IS NEEDED, PROBE FOR WHY THEY FEEL THIS IS THE CASE.)

APPROX. DATE OF RECEIPT: _____

OR

REASON FOR NOT COMPLETING: _____

_____

_____

4. IF THE DATE GIVEN IN Q.3 IS DECEMBER OR LATER, ASK: We are currently talking to the Dept. of Education about the possibility of providing assistance to some schools. Do you think it might be possible to receive your completed forms earlier than (_____) if we could provide some assistance such as reimbursing you to hire someone or sending one of our data collectors?

YES (FINANCIAL REIMBURSMENT).....1(Q5)
YES (SEND DATA COLLECTOR)..... 2(Q5)
NO.....3(Q6)

5. If it becomes possible for us to provide assistance, someone will be calling you to make the necessary arrangements. You can expect to get a call about the first week of October.

6. IF THE COORDINATOR HAS TECHNICAL QUESTIONS SAY:

If you have any questions about the study, you can call the toll-free number provided in your packet of materials (800-638-8985) or I can have someone call you to discuss your concerns. Would you like me to have someone call you?

YES.....1(Q7)
NO.....2(TERMINATE)

7. What would be the best day of the week and time of day for someone to reach you?

DAY:_____TIME:_____

THANK YOU VERY MUCH FOR YOUR COOPERATION. (WE WILL BE LOOKING FORWARD TO RECEIVING YOUR COMPLETED FORMS.)

Appendix A-13. Target date revision form

NPSAS RECORDS UPDATE TASK

TARGET DATE REVISION FORM

INSTITUTION NAME:.....ID:.....

COORDINATOR NAME:.....PHONE #:.....

INFORM THE COORDINATOR THAT WE ARE CALLING REGARDING THE FINANCIAL RECORDS UPDATES FOR THE NATIONAL POSTSECONDARY STUDENT AID STUDY AND WONDERED HOW THEY WERE COMING ALONG. MENTION THE DATE THE FIRST TARGET DATE THEY HAD GIVEN US. IF THE FORMS HAVE ALREADY BEEN MAILED, RECORD THE DATE THEY WERE MAILED OTHERWISE, ASK FOR AND SPECIFY A NEW TARGET DATE.

TARGET DATE #1:...../...../.....

ALREADY MAILED ON:...../...../.....

OR

NEW TARGET DATE:...../...../.....

COMMENTS:.....

.....

.....

RECORD OF CALLS:.....

.....

.....

RESOLVED BY:.....DATE:...../...../.....

Appendix A-14. Assistance requested form

NPSAS RECORDS UPDATE TASK

ASSISTANCE REQUESTED FORM

INSTITUTION NAME:_____ID:_____

COORDINATOR NAME:_____PHONE:_____

THESE INSTITUTIONS HAVE MENTIONED THE NEED FOR ASSISTANCE DURING THE TELEPHONE PROMPT. FIRST DETERMINE IF ASSISTANCE IS STILL NEEDED. THEN, AGREE ON THE TYPE OF ASSISTANCE AND A TARGET COMPLETION DATE.

1. IS ASSISTANCE STILL NEEDED? YES ¦___¦ NO ¦___¦

2. WHICH TYPE OF ASSISTANCE IS PREFERED? REIMBURSEMENT ¦___¦
DATA COLLECTOR ¦___¦

3. IF REIMBURSEMENT REQUESTED:

- ASK FOR TITLE AND USUAL HOURLY WAGE OF PERSON COMPLETING THE WORK.

TITLE:_____

HOURLY WAGE:_____

- INFORM THEM THAT DIANE WARD WILL BE GETTING BACK TO THEM SOON TO DISCUSS BILLING RATES AND PROCEDURES.

4. IF DATA COLLECTOR REQUESTED:

- ASK IF THEY WOULD LIKE US TO SEND THE SAME DATA COLLECTOR AS LAST TIME.

YES ¦___¦ NO ¦___¦ DOESN'T MATTER ¦___¦

IF NO AND A REASON IS OFFERED, PLEASE RECORD:_____

_____

- ASK IF THERE IS A TIME BETWEEN MID-OCTOBER AND MID-NOVEMBER WHEN IT WOULD BE OUT OF THE QUESTION TO SEND SOMEONE.

YES ¦___¦ BAD DATES:_____
NO ¦___¦

INFORM THEM THAT THE DATA COLLECTOR WILL BE CALLING THEM TO ARRANGE AN APPOINTMENT.

COMMENTS:_____

RECORD OF CALLS:_____

RESOLVED BY:_____DATE:_____

Appendix A-15. Reimbursement confirmation form

NPSAS RECORDS UPDATE TASK

REIMBURSEMENT CONFIRMATION FORM

INSTITUTION
NAME:.....ID:.....

COORDINATOR NAME:.....PHONE:.....

INFORM THE COORDINATOR THAT WE ARE CALLING REGARDING ARRANGEMENTS FOR REIMBURSING A MEMBER OF THEIR STAFF FOR HOURS SPENT COMPLETING THE UPDATE FORMS FOR THE NPSAS STUDENT FINANCIAL RECORDS UPDATE TASK.

1. VERIFY THE PREVIOUSLY DISCUSSED HOURLY RATE.

The hourly rate we agreed to earlier was (.....). Is that correct?

YES [...] NO [...] (EXPLAIN BELOW)

EXPLANATION AND NEW RATE:.....

.....

.....

2. VERIFY PAYMENT ARRANGEMENT.

Would you prefer that the worker be paid directly or would you like us to reimburse your institution for paying the worker?

REIMBURSE WORKER [...] REIMBURSE INSTITUTION [...]

3. DISCUSS PAYMENT PROCEDURES.

In order to make arrangements for you to be reimbursed, we need to receive a memo from you addressed to DIANE WARD. This memo should contain the following information:

- The name of the person completing the work,
- The complete mailing address of this data collector,
- The data collector's social security number,
- The hourly rate agreed upon, and
- The total number of hours worked.

RECORD OF CALLS:.....

.....

.....

RESOLVED BY:.....DATE:.....

Appendix A-16. Data collector recruiting form

NPSAS RECORDS UPDATE TASK

DATA COLLECTOR RECRUITING FORM

INSTITUTION NAME:_____ID:_____

COORDINATOR NAME:_____SAMPLE SIZE:_____

POSSIBLE DATA COLLECTORS:

1. NAME:_____

CITY:_____STATE:_____ZIP:_____

PHONE #:_____

2. NAME:_____

CITY:_____STATE:_____ZIP:_____

PHONE #:_____

---

1. INFORM THE DATA COLLECTOR THAT WE ARE CALLING REGARDING THE UPDATE PHASE OF NPSAS AND ASK IF SHE/HE WOULD BE AVAILABLE TO COMPLETE THE UPDATES AT (INSTITUTION NAME) BEFORE THANKSGIVING.

YES |___| (CONTINUE) NO |___| (TRY NEXT DC)

2. TELL THE DATA COLLECTOR THAT WE ARE SENDING MATERIALS IN ADVANCE AND THAT THEY SHOULD CALL US AS SOON AS THEY RECEIVE THESE MATERIALS. (800-937-8281).

3. INFORM THE DATA COLLECTOR OF ANY "BAD DATES" REPORTED BY THE INSTITUTION COORDINATOR AND ADVISE HIM/HER OF THE SAMPLE SIZE TO BE COMPLETED.

4. REVIEW ADMINISTRATIVE PROCEDURES WITH THE DATA COLLECTOR, SUCH AS TIME SHEET DUE DATES, TRAVEL ARRANGEMENTS, ETC..

COMMENTS:_____

RECORD OF CALLS:_____

RESOLVED BY:_____DATE:_____

Appendix A-17. Special procedures/reminders memo

TO: Records Update Data Collectors

FROM: Diane Ward

SUBJECT: Special Procedures/Reminders

As you may recall, during the field visits to the NPSAS schools last winter, we collected financial aid data for each aided student in the National Postsecondary Student Aid Study (NPSAS) sample. Since this information was collected prior to the end of the school year, award amounts may have changed in some cases. Also, some students who were not receiving aid at the time of our visit may have received aid later in the school year. Additionally, potential errors have been identified and need to be corrected. To enable us to include the most current and accurate data in the study, we are conducting the Records Update Task of NPSAS.

Each school that participated in the original data collection phase of NPSAS was sent a packet of materials in August. This packet (Attachment A) described the work that needed to be done and contained samples of the forms and instructions to be used. These are the same instructions that you must follow. Read them thoroughly and have any questions ready when we talk with you before your actual visit.

In early September, packets containing the actual forms, one for each student in the sample, and additional copies of instructions were sent to the schools (Attachment B). Most of the schools are completing the forms themselves or hiring a student or staff member to do the work. However, several schools have asked that we send one of our data collectors to complete the forms. This is where you come in and your job is an important one. Listed below are some procedures we would like you to follow to complete this task.

- Please read through both sample packets of information very carefully. We will discuss any questions you may have on the forms and instructions with you on the phone before you go to the school.

- The actual forms have already been sent to the schools. Please verify this with the institutional coordinator when you call to make your appointment. Make sure that the forms will be available to you when you arrive at the school.

- Your sample packet contains a Control List. This lists all the students in the sample from that school and indicates their aided status as determined from our earlier visit. There should be a data form for EVERY student on this list. Be sure that you have all the forms before you begin the actual updating. You should first use the Control List to indicate, in the last two columns, the final aided status of the students, then proceed to update the forms as necessary.

Appendix A-17. Special procedures/reminders memo (continued)

- All the schools have been contacted and are expecting to hear from you to set the exact dates for your visit. Please set a date most convenient for the school and immediately call Joan Poulin, at Westat, to report your schedule. Once you arrive at the school, check to be sure that you have all the forms and other supplies (catalogs, handbooks, glossaries, etc.) that you will need. Then, let the coordinator know that you would like to begin by updating the first few forms (5-10) and then sit down with him/her to review your findings and answer any questions you might have before continuing the process.

- Once you have completed the forms for all the students in that school, call Joan Poulin to report that you have completed the task. At that time she will let you know how you should ship the forms (overnight or regular mail). Also let her know of any difficulties you may have had at the school.

In addition to these procedures, the following concerns have been raised by the schools regarding our original data collection. You should familiarize yourself with these concerns to assist you in your work.

- When updating financial aid information please remember that it is the award amount not the disbursed amount that should be recorded. The only exception to this is in A-4, CWSP where we also want the actual amount earned for the 1986-87 school year.

- There has been a great deal of concern voiced about the classification of certain types of state and institutional aid. These items can be confusing to catagorize and should be looked at very carefully. In many instances you may not be able to decide which catagory applies to a certain award. During the original data collection many of these awards were simply put in the "other" category. For this update phase we need to have these classified in the appropriate specific category. Remember, we don't expect you to be able to classify these without help. Please ask the coordinator for assistance in assigning the amount to the correct category.

- Please note that D.1, STUDENT'S VETERAN STATUS, is a new item for this study. Although we would like to get this information for every student, we are limiting this phase of the study to information that can be found in the financial aid office. Please ask, at your initial contact, if this type of information is available and record the appropriate status (and enlistment date if available) or check the "DON'T KNOW" box on all forms.

BEST COPY AVAILABLE

Appendix A-17. Special procedures/reminders memo (continued)

Again, as soon as you receive this packet of materials and have had a chance to review them, call 800-WESTAT1 and ask to speak with either Joan Poulin or me. One of us will go over all the instructions and forms with you to be sure that you understand how all of this should work. If you anticipate having any problems completing this assignment please call us immediately so that we can assign someone else.

Appendix A-18. Remail request form

NPSAS RECORDS UPDATE TASK

REMAIL REQUEST FORM

INSTITUTION NAME:_____ID:_____

COORDINATOR NAME:_____PHONE:_____

IF THE COORDINATOR REPORTS THAT THE FORMS PACKAGE HAS NOT BEEN RECEIVED, VERIFY THE COORDINATOR'S NAME AND MAILING ADDRESS AND RECORD ANY CORRECTIONS BELOW.

ORIGINAL ADDRESS IS CORRECT |___|

OR

NAME CHANGE:_____

ADDRESS CHANGE:

STREET:_____

CITY:_____STATE:_____ZIP:_____

REQUEST THAT THE COORDINATOR CALL US WHEN THE MATERIALS ARE RECEIVED. PROVIDE THE TOLL-FREE NUMBER (800-937-8281) AND TELL THEM TO ASK FOR EITHER JOAN POULIN OR MARTY BARRETT.

COMMENTS:_____

_____

_____

RECORD OF CALLS:_____

_____

_____

RESOLVED BY:_____DATE:_____